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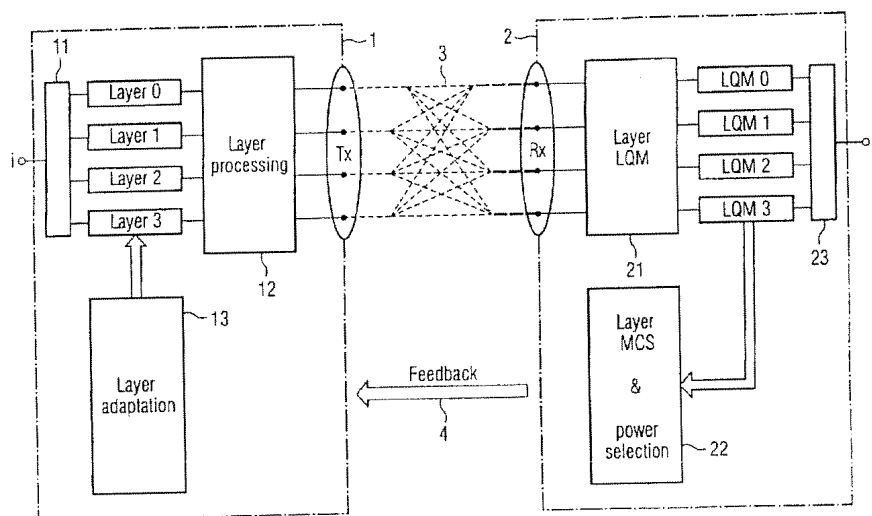
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(54) Title: LINK ADAPTATION FOR WIRELESS MIMO TRANSMISSION SCHEMES



(57) Abstract: MIMO transmission methods are applied to communication systems in which a transmitter has more than one transmit antenna and a receiver has more than one receive antenna. Information to be transmitted is divided into a plurality of subsignals according to the number of used transmit antennas and each subsignal is processed separately before it is emitted by the respective transmit antenna. In the receiver the different receive signals are processed thus that subsignals are detected and decoded and the contribution of each detected and decoded subsignal is subtracted from the receive signals and whereby a feedback channel from receiver to transmitter is used to send control information to the transmitter depending on the receive situation. In order to optimize the usage of the MIMO channel, the invention proposes the determination in the receiver of the link quality of each subsignal and the transmission of link quality information of each subsignal to the transmitter via the feedback channel so that in the transmitter properties of the subsignals can be controlled according to this the link quality information.



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## Link adaptation for MIMO transmission schemes

### FIELD OF THE INVENTION

5 The present invention relates to a wireless communication system for transmitting information between a transmitter having more than one transmit antenna and a receiver having more than one receive antenna, whereby information to be transmitted is divided into a plurality of subsignals. Each subsignal in such a system is processed separately before it is emitted by the transmit antenna. In the receiver  
10 adapted for such a system the receive signal is processed thus that subsignals are detected and decoded. The contribution of each detected and decoded subsignal is subtracted from the receive signal. A feedback channel from receiver to transmitter is used to send control information to the transmitter depending on the receive situation

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### DESCRIPTION OF THE PRIOR ART

One method to efficiently utilise the available transmission potential of wireless  
20 communication channels is to use link adaptation (LA). Thereby, the transmitter has knowledge of one or more channel parameters reflecting the current ability of the channel for transmit data reliably. This kind of information is referred to as channel state information (CSI). Examples are signal-to-noise ratio or frame error rate.

25 There are already a couple of systems where link adaptation is included in the specification of the systems. The following subsections shall provide an overview of state-of-the art link adaptation schemes and its major features.

The classical form of link adaptation is to select a modulation and coding scheme  
30 for single-antenna links. However, if Multiple-input multiple-output (MIMO)

transmission is considered, there are a lot more parameters of importance influencing the transmission properties than in the conventional case.

A channel having a single-antenna link between transmitter and receiver available is  
5 named as single-input single-output (SISO) channel. Link adaptation on SISO channels is the classical form of link adaptation as it is foreseen in most of the current systems. The core is that the transmitter has to select a modulation and coding scheme (MCS) out of a predefined set depending on the channel quality in order to meet the requirements of the considered service as good as possible.  
10 Examples for systems where such a link adaptation concept is foreseen are: EDGE, HIPERLAN/2, and HSDPA.

Typically, the receiver measures the quality of the radio link. There are several possibilities to obtain such link quality measurements (LQM) like uncoded error  
15 rate or signal-to-noise-and-interference ratio. Based upon the LQM the receiver sends a recommendation to the transmitter, which MCS seems to be appropriate in the next transmission period.

High-speed downlink packet access is the high-speed evolution of UMTS, which is  
20 currently being standardized. Multiple-input multiple-output transmission is a transmission technique where multiple transmit and receive antennas are available. The proposal for MIMO transmission in HSDPA is related to V-BLAST. Thereby, the data stream is partitioned into independent layer data streams or code words. Every layer code word is transmitted from one transmit antenna.

25 The so-called V-BLAST transmission technique is known from EP 0 951 091 A2. Such a known communication system comprises a transmitter with  $k$  transmit antennas. The transmitter is responsive to receipt a  $m$ -dimensional transmit symbol vector from a source. The transmit vector is transmitted over  $m$  of the  $k$  transmit  
30 antennas using a predetermined modulation technique where  $k \geq m \geq 1$ . A receiver

having  $n$  antennas for receiving signals from that receiver as  $n$ -dimensional received signal vectors, where  $n \geq m$  comprises a detection processor that processes the  $n$ -dimensional received signal vector to form an estimate of the  $m$ -dimensional transmit symbol vector. Then the processor determines the best reordering of the transmitted components and then processes the received vector to determine the reordered transmitted symbol components. Such processing starts with the lowest level of the reordered components, and for each such level, cancels the interfering contributions from lower levels, if any, and nulls out interfering contributions from higher level, if any. This system also provides a feedback channel from receiver to transmitter for optimizing the selection of transmit antennas.

Most MIMO transmission techniques work similar to V-BLAST in the sense that the data stream is partitioned into multiple independent portions, which are processed, e.g. encoded, separately. The possibility to extract the transmitted information back at the receiver out of the layer signals strongly depends on the current propagation conditions on the MIMO channel. Therefore, the task of link adaptation for MIMO transmission is at least two-fold: a) determine the number of layers that can be separated again at the receiver and b) determine the appropriate MCS per layer.

20

In HSDPA there were proposals that the following information is signaled back on the uplink serving as criteria for selection of the downlink transmission settings:

- Number of receive antennas
- Recommendation: which transmit antennas shall be used
- Recommendation: one MCS for all layers

25

The current MIMO proposal for HSDPA (TSG-RAN Document R2-010503) assumes at most four antennas at either the transmit or receive site. Accordingly, the following transmit modes are defined:

30

1. 4x4 MIMO (i.e. 4-layer MIMO with 4 transmit and 4 receive antennas)
2. 2x4 MIMO (i.e. 2-layer MIMO with 2 transmit and 4 receive antennas)
3. Space-time transmit diversity STTD (i.e. non-layered transmission with 2 transmit antennas to exploit transmit diversity)
- 5 4. Single antenna (non-layered conventional transmission from 1 antenna based on selection diversity)

on the correlations in the current MIMO channel matrix.

- 10 A MIMO transmission technique proposed by the applicant is multi-stratum space-time coding (MSSTC). Thereby, the data stream is partitioned into multiple independent portions, here called strata. In the patent application EP 00121621.7 , there is already mentioned that the power and the rates of the strata can be adapted individually per stratum. However, it is not further specified where to base this  
15 adaptation upon.

Discrete matrix multitone (DMMT) and variants thereof is proposed in Gregory G. Raleigh; John M. Coffi, „Spatio-Temporal Coding for Wireless Communication“, IEEE Transaction on communications, Vol. 46, No. 3, March 1998, pages 357-366  
20 and Ada S. Y. Poon; David N. C. Tse; Robert W. Brodersen, „An adaptive Multi-Antenna Transceiver for Slowly Flat Fading Channels“, available at <http://degas.eecs.berkeley.edu/~dtse/pub.html> as a means to optimally exploit the transmission potential of a MIMO channel. The transmission is based on OFDM, whereby every OFDM subchannel is subject to MIMO propagation conditions. The  
25 core regarding link adaptation is that it is assumed that the transmitter has full knowledge of the channel, i.e. full or maximum channel state information of every OFDM subchannel is available at the transmitter. With this knowledge it is possible to pre-distort the transmitted signal such that a diagonal channel without interfering signal is generated. Additionally, with the waterfilling technique the transmitted

power is distributed among the diagonal MIMO channels to achieve the maximum throughput.

While DMMT assumes full channel state information at the transmitter, the

5 techniques to be discussed here, assume that only partial channel state information is available. The ideas for MIMO transmission presented in Syed Ali Jafar; Siram Vishwanath; Andrea Goldsmith, „Channel Capacity and Beamforming for Multiple Transmit and Receive Antennas with Covariance Feedback“ available at <http://wsl.stanford.edu/Publications.html>, and Christopher Brunner; Joachim S.  
10 Hammerschmidt, Alexander Seeger; Josef A. Nossek, „Spacer-Time Eigenrake and Downlink Eigenbeam former: Exploiting Long-term and Short-Term Channel Properties in WCDMA, available at <http://www.nws.e-technik.tu-muenchen.de/cgi-bin/nws/publications> , named covariance feedback and Eigenbeam forming, are based on the long- or mid-term correlation matrix of the channel. That means that  
15 the receiver estimates the channel matrices over a certain time period and calculates the correlations among the entries in the channel matrix. Instead of signaling the instantaneous channel matrices which means a rather high feedback signaling rate only updated versions of the correlation matrix are sent back to the transmitter. Since the correlation matrix mainly depends on the current scatterer scenario, which  
20 is usually assumed to change rather slowly over time compared to fast fading effects, the correlation changes also only rather slowly with time. Therefore, firstly, the rate to update the correlation matrix may be rather small, and, secondly, the estimation of the correlation matrix may be averaged over a rather long time period and thus a rather good estimate may be obtained.

25

Having the correlation (or covariance) matrix available at the transmitter, the eigenvectors of the correlation matrix are taken to steer the transmitted signals towards the eigenvalues of the correlation matrix. Additionally, water filling with respect to the eigenvalues is applied. This can e.g. imply that some eigenvalues are

discarded for transmission since their amplitude is too small and it is therefore more valuable to put the power in the stronger eigenvalues.

## 5 PROBLEM OF EXISTING TECHNOLOGY

The crucial property of layered MIMO transmission compared to conventional SISO (single-input single-output) transmission, is that in addition to the perturbation of the receive signal by noise and interference from other users, the layer signals are  
10 perturbed by other layer's signals. This kind of interference has often by far the greatest impact on the transmission potential on the considered layer.

Since MIMO transmission is a quite recent transmission technique, there are up to now very few detailed proposals how to assess the described kind of inter-layer  
15 interference and how to use it for link adaptation.

## OBJECT OF THE INVENTION

20 Therefore it is an object of the invention to find link quality measurements that suit best for MIMO transmission.

The initial idea to introduce layered MIMO transmission was to facilitate the task at the receiver by extracting the transmitted information stage by stage in a serial  
25 decoding process rather in one big decoding step. Thereby, one layer is detected and decoded and afterwards its contribution is subtracted from the receive signal. This kind of detection and decoding is called serial interference cancellation.

The information that can be reliably transmitted by one layer depends firstly, on the  
30 current channel conditions, and secondly, on the decoding order in the serial



interference cancellation process. Therefore, it should be obvious that the transmission capabilities of the different layers and hence the appropriate layer MCS may be quite different for different layers. That means if the parameters assigned to all layers are identical the transmission potential of the MIMO channel might not be fully exploited in most of the cases. Therefore it is a further object of the invention to present a solution for best exploitation of a MIMO channel

While for V-BLAST in HSDPA, switching off of antennas is considered as one ingredient in the link adaptation concept, for other transmission techniques like MSSTC, there are not yet such proposals available. In MSSTC, there is a full usage of all transmit antennas regardless of the number of strata being currently used. All schemes that are characterised by this property shall be named stratified MIMO schemes in the following in order to distinguish to layered MIMO schemes.

Depending on the channel conditions, it could be that the potential rate of one or more strata is very small. Then, it is usually advantageous to reduce the number of strata, i.e. the number of independent strata. Therefore it is another object of the invention to present a solution that adapts appropriately the transmitted signal in case of switching off strata while all transmit antennas are still in use.

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#### SUMMARY OF THE INVENTION

To optimize the exploitation of the MIMO channel the link quality of each subsignal is determined in the receiver, information of each subsignal is transmitted to the transmitter via the feedback channel and that in the transmitter properties of the subsignals are controlled by the feedback information. As MIMO transmission offers a substantial performance gain when the channel is fed appropriately the way of link adaptation proposed here tries to exploit a big portion of this potential also in practice.

30

One option is to evaluate the determined link quality of each subsignal in the receiver and to generate control information that is send to the transmitter. Another option is to send the determined link qualities to the transmitter and to perform the evaluation of the determined link qualities in the transmitter.

The properties of the subsignals that are controlled directly or indirectly by the link quality information comprise the data rate of each subsignal, the transmit power of each subsignal, the modulation scheme of each subsignal are any combination of these properties.

The link quality determination may be based on an error rate measurement, a noise ratio measurement, or a capacity measurement. The capacity measurement may be fast-adaptive, e.g. when it is based on the instantaneous calculated capacities of each subsignal. Fast means that the measurement period is shorter or substantially equal to the time period in which fast fading becomes relevant. As fast fading is dependant from the Doppler shift of the signal the time period is also dependent from the velocity a receiver moves relatively from or to the transmitter.

For slow-adaptive embodiments a capacity calculation based on an average of the calculated capacities of each layer with respect to a longer time period or a capacity calculation that takes the outage of the calculated capacities of each layer with respect to a longer time period may be applied.

In a preferred embodiment the subsignals are mutually superimposed and diversity is added to each subsignal. For applying diversity to the subsignals a Space-Time code is proposed. This technique has been called by the inventors Multi Strata and is known from EP 1 195 937.

In a preferred embodiment the method comprises the steps of determining the link quality of each subsignal, compare the set of determined link qualities with a plurality of sets of pre-calculated link qualities in order to choose one of the pre-calculated sets as the best matching set of all pre-calculated sets and use the properties of the chosen pre-calculated set on which the chosen pre-calculated set was based as properties for the subsignals. This achieves a classification of the current measured link quality properties. As the continuum of possible link quality situations is mapped to a few classified situations the evaluation of the link quality situation is very efficient.

10

#### BRIEF DESCRIPTION OF THE INVENTION

An embodiment of the present invention is described below, by way of example only, with reference to the accompanying drawings, in which:

15

Fig.1: shows a layered MIMO communication system with a feedback channel according to the invention.

Fig. 2 Flow chart of steps for link quality control

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Fig. 3 Flow chart for classified link quality control

#### EMBODIMENT OF THE INVENTION

25

Fig. 1 shows a MIMO communication system with a transmitter 1 and a receiver 2. In this embodiment the transmitter 1 provides four transmit antennas and the receiver 2 also provides four receive antennas. Payload information  $i$  is split in the transmitter by a demultiplexer 11 into four subsignals which are also called Layer 0,

30

Layer 1 Layer 2 and Layer 3. The demultiplexer can be controlled in a way that the data rate of each subsignal may be chosen different from the data rates of the other subsignals. The subsignals are processed by a layer processing unit 12 to achieve the desired MIMO properties. The subsignals are transmitted to the receiver 2 whereby they are subjected to a MIMO channel. In the receiver 2 the different layers are decoded and the link quality of each received subsignal (each layer) is determined by a layer link quality means 21. In this embodiment the link quality information is evaluated in the receiver in an evaluation unit 22 and control information is generated that is send to the transmitter1 via a feedback channel 4. A layer adaptation means chooses from the feedback information the modulation and coding scheme (MCS) for each layer and also controls the demultiplexer 11 accordingly to provide the respective data rate for each layer. The skilled person in the art will readily appreciate that the link quality information may be send as such to the transmitter 1 and could be evaluated as well in the transmitter 1. However, the control information, which for example optimizes individually for each subsignal to be transmitted e.g. the code rate, modulation scheme and/or the transmit power thus allows to adapt each layer to the current MIMO channel.

In a first embodiment of the invention the capacity  $C^{(0)}$ ,  $C^{(1)}$ ,  $C^{(2)}$  and  $C^{(3)}$  of four layers  $L_0$ ,  $L_1$ ,  $L_2$ ,  $L_3$  is controlled by the feed back information. To elaborate the means to assess the transmission potential per layer (in general per partition) in the receiver the following notation shall be introduced. The transmission on layer  $m$  (partition  $m$ ) shall be characterized by two parameters: code rate  $R^{(m)}$  and power  $P^{(m)}$ . This applies to all possible layers  $m$ ,  $m = 0, \dots, M-1$ , where  $M$  is the total number of layers. For example,  $M$  may be equal to the number of transmit antennas  $N_T$ .

One measure of the link quality per layer  $m$  is the (Shannon) capacity of this layer  $C^{(m)}$ . In order to calculate the layer capacity, in a first step (201) the current channel matrix  $\mathbf{H}$  as well as the current signal-to-noise ratio at the receiver input SNR are

measured. It should be noted here that the term noise is understood in a quite general sense. Every disturbance either from co-channel interference or from thermal noise or from anything else shall be comprised in the noise power. For the calculation of the capacity continuously distributed Gaussian symbols are assumed at the channel input. Although this does not reflect the discrete-valued transmission alphabets like QAM that are used in reality, results obtained by the Gaussian assumption reflect very well the real transmission conditions. In a next step (202) the maximum layer capacities are calculated on base of the measured current channel matrix  $H$  and the current signal-to-noise ratio SNR. How the layer capacities can be calculated is described in detail in "Exploiting the Data-Rate Potential of MIMO Channels: Multi Stratum Space-Time Coding"; Udo Wachsmann, Jörn Thielicke, Hans Schotten, VTC 2001 for the MIMO transmission schemes V-BLAST, D-BLAST, and MSSTC and therefore needs not to be discussed here. The method can be easily generalised to other MIMO techniques like multi-layer space-time coding (MLSTC) – which is known from "Combined Array Processing and Space-Time Coding"; Vahid Tarokh et al, IEEE Transaction on Information Theory, Vol. 45, pp 1121 – as well.

In a next step (203) the results of the capacities are directly taken to give a recommendation for the modulation and coding scheme selection per layer. As there are at least two strategies this step is explained in more detail later on in the paragraph "Rate and Power Assignment Strategies for Layered MIMO" In a next step (204) the proposed modulation and coding scheme for each layer is transmitted via the feedback channel 4 to the transmitter 1. The information is extracted from the feedback channel and input to the layer adaptation device 13.

The capacity expressions derived in the aforementioned paper "Exploiting the Data-Rate Potential of MIMO Channels: Multi Stratum Space-Time Coding"; have a very simple structure. They look like:

$$C = \log_2(\det(\mathbf{I} + \text{SNR} * [\mathbf{H} \mathbf{G} \mathbf{G}^H \mathbf{H}^H])),$$

where  $\mathbf{H}$  is the channel matrix and the matrix  $\mathbf{G}$  comprises the operations to generate the transmitted signal.  $(\cdot)^H$  denotes the Hermitian operator for matrices. Therefore,  
 5 the measured channel matrix and SNR can be directly inserted in the expressions. In the following an example for calculating the capacities of the subsignals  $\underline{a}^{(0)} \dots \underline{a}^{(3)}$  is given. The calculation is based on Space-Time encoded subsignals  $\underline{a}^{(0)} \dots \underline{a}^{(3)}$ , four transmit antennas, four layers and four receive antennas.

10 The transmit signals are described by a vector  $\underline{s}$  whereby matrices  $\mathbf{G}^{(0)} \dots \mathbf{G}^{(3)}$ , the so-called generator matrices describe the modulation of the different subsignals  $\underline{a}^{(0)} \dots \underline{a}^{(3)}$ :

$$\underline{s} = \begin{bmatrix} \mathbf{G}^{(0)} & \mathbf{G}^{(1)} & \mathbf{G}^{(2)} & \mathbf{G}^{(3)} \end{bmatrix} \cdot \begin{bmatrix} \underline{a}^{(0)} \\ \underline{a}^{(1)} \\ \underline{a}^{(2)} \\ \underline{a}^{(3)} \end{bmatrix}$$

15

The receive signal  $\underline{r}$  for a channel matrix  $\mathbf{H}$  in AWGN can be described as:

$$\underline{r} = \underline{H}_B \cdot \underline{s} + \underline{n}$$

20 whereby the vector  $\underline{n}$  describes the noise signals and  $\underline{H}_B$  is a block diagonal matrix where the actual channel matrix  $\mathbf{H}$  appears  $N_s$  times (with  $N_s$  is the number of symbol periods per Space-Time Codeword) on the main diagonal:

$$\underline{H}_B = \begin{bmatrix} \mathbf{H} & & \mathbf{0} \\ & \ddots & \\ \mathbf{0} & & \mathbf{H} \end{bmatrix}$$

25

This accounts for the general case of a Space-Time modulation spanning over  $N_s$  symbol periods, e.g. if Alamouti coding is used  $N_s = 2$  holds.

The capacity  $C^{(0)}$  of the first layer thus can be obtained by the following calculation:

$$C^{(0)} = \log_2 \left( \det \left( I + \text{SNR} \cdot \underline{H}_B \cdot [G^{(0)} \dots G^{(3)}] \cdot [G^{(0)} \dots G^{(3)}]^H \underline{H}_B^H \right) \right) - \log_2 \left( \det \left( I + \text{SNR} \cdot \underline{H}_B \cdot [G^{(1)} \dots G^{(3)}] \cdot [G^{(1)} \dots G^{(3)}]^H \underline{H}_B^H \right) \right)$$

The capacity of the other layers can be obtained in the same manner.

For an example with real figures for reasons of conciseness a very simple channel matrix  $\underline{H}$  with integer values is assumed to have been obtained by measurement:

$$\underline{H} = \begin{bmatrix} 1 & 2 & 3 & 4 \\ -2 & -3 & -4 & -1 \\ 3 & 4 & 1 & 2 \\ -4 & -1 & -2 & -3 \end{bmatrix}$$

In case an orthogonal space-time block code is used,  $R_{\text{STC}} = 3/4$ ,  $\text{SNR} = 2$  dB and DFT is used to build the layers the capacities for four layers are calculated as:

$$\begin{aligned} C^{(0)} &= 1.50 \text{ [bit/symbol]} \\ C^{(1)} &= 1.94 \text{ [bit/symbol]} \\ C^{(2)} &= 2.48 \text{ [bit/symbol]} \\ C^{(3)} &= 3.06 \text{ [bit/symbol]} \end{aligned}$$

Due to the assumed serial interference cancellation at the receiver, at least, for MSSTC, it is always the case that the capacities are increasing from lower to higher layers given that the lower layers are decoded first.

It is crucial to mention that it has to be taken into account that the capacity assumes ideal channel coding that cannot be accomplished in practice. In order to incorporate real coding schemes a certain gap in terms of SNR to capacity has to be used. The gap of real coding depends on at least the used coding scheme itself, and the target error rate. For example in case convolutional codes with 64 states and different rates are chosen as modulation and coding scheme (MCS) and a targeted bit error rate (BER) of  $10^{-5}$  is chosen a gap of 4 dB can be assumed to be appropriate. That means if the measured channel SNR is at x dB, the capacity values have to be taken at x-4 dB in order to reflect the loss due to convolutional coding.

A further benefit of the described capacity calculation is that it automatically works best for linear MMSE detection. For different detection scheme, the MMSE capacity values serve still as a useful estimate. There is no need to set up the MSSE matrices or in general the equations for the linear detection algorithm explicitly.

In the following different measurement methods for the link quality are presented:

### SINR per layer

Layers are transmitted according to the used MIMO scheme, e.g. MSSTC. At the receiver input, all layers are superimposed in general due to the propagation conditions of the MIMO channel. Usually, with linear interference suppression schemes prior to channel decoding the layer signals are separated to a certain extent. The task of detection in this context can be always described as finding a trade-off between suppressing the interference from other layers, enhancing the noise, and saving complexity in the detection scheme. Given the used detection scheme and again the measured current channel matrix H as well as the measured SNR, it is possible to derive expressions for the useful signal power, the power of interference from other layers, and the noise power after detection at the input of the channel decoder. Putting these terms together give the signal-to-noise-and-interference ratio



SINR, whereby interference here only means the interference from other MIMO layers rather than the interference from other users.

5 The calculated SINR values per layer may now be used in the way as the SNR values are typically used in link adaptation for SISO channels.

By calculating the SINR per layer the parameter that is mainly characterizing the transmission on the considered layer is obtained. SINR is a measure that is commonly used also for SISO channels although there interference typically means  
10 multi-user interference.

### **Singular values of the channel matrix**

15 In order to get more insight into the properties of the channel matrix and into the inter-layer interference situation for MIMO transmission, a singular value decomposition of the channel matrix is very helpful:

$$\mathbf{H}=\mathbf{U}*\mathbf{S}*\mathbf{V}^H$$

20 where the columns of  $\mathbf{U}$  are the left-hand singular vectors, the columns of  $\mathbf{V}$  are the right-hand singular vectors and  $\mathbf{S}$  is a diagonal matrix containing the singular values itself.

25 The singular values itself give already a very helpful indication on the inter-layer interference situation for transmission.

Examples:

- MSSTC: the layer capacities are more or less uniquely determined by the singular values. Therefore, it is sufficient to know the singular values in order to appropriately assign rates to the individual layers.
  - 5 • BLAST type of schemes: layer capacities are determined by  $\mathbf{S}$  and  $\mathbf{V}$ . That means in practice that the rough interference situation is given already by the singular values and, so-to say, the variance of it is then generated by the current singular vectors in  $\mathbf{V}$ .
- 10 The benefit of this measurement method is that the normalized singular values (maximum singular value is set to one) of the channel matrix are changing much more slowly than the channel matrix itself. That implies that an update of the singular values is not necessary very fast with respect to one symbol interval. This gives the possibility to obtain quite accurate estimates. It is one opportunity to get a
- 15 mid- or even long-term statistic of the channel.

### Channel correlation matrix

- 20 The previously described measures capacity and SINR relates more to the instantaneous channel matrix. This seems to be appropriate when it is possible to update the selected MCS quite frequently. On the other hand, if the layer parameters shall be kept fix over a longer time period, a long-term measure like the correlation matrix of the channel is more appropriate.

25

- The receiver is estimating various channel matrices in a certain time period and calculates the correlation among the matrix elements. The resulting correlation matrix reflects the type of scatterer environment that is present in the interesting time period. Roughly speaking, the correlation matrix shows whether there are
- 30 strong or weak correlations in the channel matrix. More mathematically spoken, the

distribution of the eigenvalues of the correlation matrix give a more precise picture of the correlation situation.

Examples:

- 5     • All eigenvalues of the correlation matrix are equal
  - The meaning is that there is a rich scattering environment and e.g. it is valuable to create as many layers as transmit antennas.
  - Only one eigenvalue of the correlation matrix is significantly greater than zero
- 10    The meaning is that there is e.g. one dominating path the transmitted signal is emitted along. In such situations, it is possible to more or less fully exploit the transmission potential by creating only one layer.

15    The benefit of calculating a channel correlation matrix is that the correlation matrix may be measured over a rather long time period. Therefore, noise in the estimate can be suppressed very effectively and, hence, the obtained estimate can be made quite accurate. Less signaling rate for feedback is required since the correlation matrix or the derived MCS recommendations, respectively, are updated rather seldom.

20

## WER, BER

25    For completeness, the typical measures word error rate (WER) and bit error rate (BER) shall be mentioned here. For MIMO link adaptation, WER and BER are understood as WER and BER per layer.

30    The (raw or uncoded) BER is obtained by comparing hard decided bits before decoding with the decoded versions. In data transmission, there are usually CRC checks involved at some protocol stage in order to ensure the correctness of a

transmitted data packet with a very high probability. These CRC checks may be used to obtain a statistic on the word or frame errors (WER) in the receiver without knowing the actually transmitted data.

- 5    The benefits of BER and WER are that the calculation or measurement of WER and BER is rather simple. However, most often the accuracy of the obtained values is insufficient, especially for the WER. The reason is that in order to obtain a high accuracy measurements over a long time period are necessary. Depending on the mobility of the involved environment the channel and hence the transmission
- 10   conditions have already changed significantly during this long time period. Therefore, the obtained WER or BER does not reflect any longer the current channel conditions.

## 15    **RATE AND POWER ASSIGNMENT STRATEGIES FOR LAYERED MIMO**

In principle, it has to be distinguished between two basic cases:

- a)     the assignment shall be adapted to the *instantaneous transmission conditions*
- b)     the assignment shall be adapted according to long-term characteristics

20

In order to distinguish these two cases, strategies belonging to case a) are named fast adaptive and those belonging to case b) are named slow adaptive.

### **Fast-adaptive assignment based upon layer capacities**

25

The concept shall be illustrated by the following example:

In this example again four transmit and four receive antennas are used. The available rates of convolutional coding are  $\frac{1}{2}$  and  $\frac{3}{4}$ . Used modulation schemes are

QPSK, 16QAM and 64QAM. Thus, the predefined set of MCS per layer expressed in terms of rate per layer is,

$$R^{(m)} = \{1, 1.5, 2, 3, 4.5\} \text{ [bit/symbol]}.$$

5

The applied MIMO scheme is MSSTC. The layer capacities for the current channel conditions are

$$\begin{aligned} C^{(0)} &= 1.53 \text{ [bit/symbol]}. \\ C^{(1)} &= 2.32 \text{ [bit/symbol]}. \\ C^{(2)} &= 3.98 \text{ [bit/symbol]}. \\ C^{(3)} &= 4.23 \text{ [bit/symbol]}. \end{aligned}$$

10

The problem is now that the channel being actually available for transmission will already differ by the measured one. That implies also that the calculated layer capacity will look differently. The degree of change in layer capacities depends a) on the time duration between channel measurement and actual transmission, b) on the mobility of the environment, and c) on the used MIMO scheme. The above-mentioned issues have to be considered in form of a margin when assigning the layer rates. The margin itself then also depends on the points a), b), and c) like before.

15

20

As an example let us define a capacity margin such that the calculated capacities are reduced by 0.5. The goal now could be defined as to find the MCS the rate of which being the closest to the capacity minus margin (rounding). Alternatively, the MCS with the next lower rate could be selected. For the considered example, the rate assignment with rounding and the exemplary margin of 0.5 results in

25

30

$$\begin{aligned} R^{(0)} &= 1.0 \text{ [bit/symbol]}. \\ R^{(1)} &= 2.0 \text{ [bit/symbol]}. \end{aligned}$$

$$R^{(2)} = 3.0 \text{ [bit/symbol]}.$$

$$R^{(3)} = 3.0 \text{ [bit/symbol]}.$$

The described example is one way for the rate assignment. The central point is  
 5 certainly how the margin may be obtained and how it is used. The margin maybe  
 used either as an additive value or as a relative value scaling down the capacities.

Ways to obtain the margin:

The important issue is how the channel matrix changes over time and what is the  
 10 impact on the applied MIMO scheme. In order to assess this, many pairs of two  
 random channel matrices that are correlated in time according to a) the time period  
 lying between channel measurement and actual transmission and b) the assumed  
 mobility of the environment may be generated. For each pair of channel matrices the  
 layer capacities are calculated and either the differences or the ratios between the  
 15 individual layer capacities are treated as a new random variable. Based upon the  
 PDF or CDF of this random variable and depending on the target error rates the  
 margin can be determined

Example:

20 Fast-adaptive assignment based upon layer SNR: The same strategies as described  
 for capacity may be applied if SINR is taken as LQM per layer.

### Slow-adaptive assignment based upon correlation matrix

25

The idea is that prior to transmission, so-to-say off-line, representative correlation  
 matrices are chosen which reflect typical transmission conditions for the considered  
 antenna configuration. For these representatives, a plurality of random channel  
 matrices according to the considered correlation matrix are generated and the layer  
 30 capacities  $C^{(m)}$  for the MIMO transmission technique which is applied in the

considered system, e.g. MSSTC, are calculated for every channel. Depending on the features of the system where MIMO transmission shall be applied, the random channel matrices taken for the described experiment prior to transmission may be either power-controlled or power-normalized to a target SNR value or they are  
 5 calculated for a target average SNR. Since random channels are involved the capacity of every layer can be regarded as a random variable. One characteristic of such a random variable is its probability density function (PDF) or its cumulative distribution function (CDF).

10 For the typical cases in MIMO transmission the quasi-stationary condition holds. That means that the channel is quasi-constant during the transmission of one code word, but it has changed considerably between the transmissions of two code words. Given this quasi-stationary condition the value of the layer capacity  $C^{(m)}$ , where the CDF value is equal to  $x\%$  corresponds to a word error rate of  $x\%$  and is therefore  
 15 referred to as the  $x\%$ -outage capacity  $C^{(m)}_{x\%}$ .

The  $x\%$ -outage capacities per layer  $C^{(m)}_{x\%}$  having calculated or to be more specific having measured by off-line simulations or experiments are the basis for a slow-adaptive link adaptation concept. Given the values  $C^{(m)}_{x\%}$  for a target SNR may  
 20 serve as an indication which are the best suited ratios for the layer rates  $R^{(m)}$  that have to be assigned. This concept shall be further specified by the following example.

Example:

25 Again an antenna configuration with four transmit and four receive antennas is considered. The range of eigenvalue distributions of the correlation matrix spans from only one eigenvalue unequal zero to sixteen identical eigenvalues. As an example 4 representatives of the correlation matrix shall be chosen as follows:  
 A  $16 \times 16$  random matrix  $\mathbf{M}$  is generated; an eigenvalue decomposition of this  
 30 random matrix is performed to obtain random eigenvectors:

$$\mathbf{M} = \mathbf{Q}\mathbf{L}\mathbf{Q}^H$$

where  $\mathbf{Q}$  contains the eigenvectors of  $\mathbf{M}$  as columns and  $\mathbf{L}$  is a diagonal matrix  
 5 containing the eigenvalues. It has to be ensured that the eigenvectors have non-zero  
 entries each, otherwise correlations between some elements might be discarded. In  
 this case, a new 16x16 random matrix is chosen. The four representatives are chosen  
 by defining four different matrices  $\mathbf{L}$  with 4 different eigenvalue distributions.

$$\begin{aligned} 10 \quad \mathbf{L}_1 &= \text{diag}\{1,1,1,1, 1,1,1,1, 1,1,1,1, 1,1,1,1\} \\ \mathbf{L}_2 &= 4/3 * \text{diag}\{1,1,1,1, 1,1,1,1, 1,1,1,1, 0,0,0,0\} \\ \mathbf{L}_3 &= 2 * \text{diag}\{1,1,1,1, 1,1,1,1, 0,0,0,0, 0,0,0,0\} \\ \mathbf{L}_4 &= 4 * \text{diag}\{1,1,1,1, 0,0,0,0, 0,0,0,0, 0,0,0,0\} \end{aligned}$$

15  $\text{Diag}\{.\}$  means a diagonal matrix with the elements on the main diagonal given in  
 brackets.

The four representative correlation matrices form a set of pre-calculated matrices  
 and are then obtained by:

20

$$\mathbf{M}_i = \mathbf{Q}\mathbf{L}_i\mathbf{Q}^H, i=1,2,3,4.$$

A target SNR of 10 dB is chosen. The applied MIMO scheme is MSSTC. The target  
 word error rate shall be 1 %. Thus, the 1%-outage capacities per MSSTC layer are  
 25 the interesting measures. For the representative correlation matrix  $\mathbf{M}_1$ , random  
 channel matrices are generated and the 1%-outage capacities per layer  $C_{1\%}^{(m)}$  are  
 calculated. Assume the result for MSSTC may for simplicity look like:

$$\begin{aligned} 30 \quad C_{1\%}^{(0)} &= 2.0 \text{ [bit/symbol]}. \\ C_{1\%}^{(1)} &= 2.5 \text{ [bit/symbol]}. \end{aligned}$$



$$C_{1\%}^{(2)} = 2.8 \text{ [bit/symbol]}.$$

$$C_{1\%}^{(3)} = 3.0 \text{ [bit/symbol]}.$$

- Therefore, the rates per layer should be chosen in a similar ratio. To reflect e.g.  
 5 typical code rates, one strategy could be to define the goal for the normalized layer code rates:

$$[R^{(0)} R^{(1)} R^{(2)} R^{(3)}] / R^{(3)} = [2/3 \ 3/4 \ 1 \ 1]$$

- 10 This procedure is then repeated for every all other representatives of the correlation matrix  $M_2$ ,  $M_3$ ,  $M_4$  as well.

During transmission, the channel correlation matrix is measured (301) and classified (302) as to belong in one of the four classes characterized by the representatives.

- 15 This may be accomplished e.g. by at least approximately calculating the eigenvalues of the correlation matrix. Given the classified "correlation class", the normalized layer code rates are looked up (303) from the pre-calculated representative correlation matrices. To obtain the actually layer rate the normalized values of the layer code rate are multiplied by reference values (304). Then the layer capacities  
 20 have to be mapped to the available layer MCS (305). The chosen layer MCS are reported to the layer adaptation means 13 to chose the respective code rate and modulation scheme of each layer. The actually chosen layer rate thus depends a) on the instantaneously measured SNR on the channel and b) on the available set of MCS per layer. One possible strategy there is:

25

The rate of the last (interference-free) layer is chosen firstly according to the MCS appropriate to the current channel conditions (may be obtained by conventional SISO link adaptation since this layer is interference-free). All other rates are selected based upon the given normalized rates. The actual layer rates may then be

chosen according to the MCS with the closest rate (rounding) or according to the MCS with next-lower rate.

It shall be emphasized here that the X%-outage capacity is only one measure the

5 rate assignment could be based upon. Other possible measures are e.g.:

- Average capacity per layer
- Estimated WER out of SINR calculations:
- Similar to calculating layer capacities layer SINRs may be calculated as described above
- 10 • These SINR values may be mapped to one WER per MCS in the available set. This mapping is typically be done by simulations for the AWGN channel over SNR. The layer SINR is then identified with the AWGN SNR and the corresponding WER is taken out of the simulation result curve.
- Given a target WER per layer, there is usually one corresponding layer MCS
- 15 fulfilling this target WER with the highest possible layer rate
- The normalized layer rates may then be defined by ratios of the MCS rates and the procedure continues as described above.

## 20 **Power assignments**

All solutions described above exclusively treat the assignment of rates to the individual layers. One basic concept for the assignment of different powers to the individual layers could be to assign the powers such that the rate of every layer can  
25 be made equal. That means e.g. that the powers are varied until all layer capacities are equal or until all layer SINRs are equal referring to the above-introduced LQMs.

## **Adapting the Number of Layers to the Long-Term Channel Situation**

The slow-adaptive assignment based upon the correlation matrix describes a way to assign rates or MCS per layer based on long-term measurements, namely the correlation matrix. In addition to adapt the layer rates, there is also the possibility to totally switch off or on layers and adapt by this the number of layers appropriately to the observed long-term channel situation. This will be further elaborated in the following.

Regarding the BLAST-type of schemes switching off layers implies switching off antennas and therefore a certain degree of the transmission capacity might be lost, because only parts of the channel are used. This kind of adaptation is already proposed in HSDPA as explained above. The MIMO schemes that are under investigation in particular for this solution are layered schemes where the layer signals are superimposed in a way that all transmit antennas are used at one transmission interval regardless of the number of layers that is used. One representative in the class of these MIMO schemes is MSSTC. The key now is that the generation of the transmitted signal depends on the number of layers that shall be used. That means it is e.g. not sufficient to always generate firstly a transmit signal with maximum number of layers and set the power of some of the layers equal to zero afterwards.

20

The number of layers in use could be selected e.g. according to

- The number of eigenvalues in the correlation matrix being significantly greater than zero (e.g. normalized Eigenvalue greater than a quarter of the maximum Eigenvalue)
- 25 • The number of singular values in the instantaneous channel matrix being significantly greater than zero (e.g. normalized Eigenvalue greater than a quarter of the maximum Eigenvalue)
- Ensure a certain minimum rate per layer, that means if e.g. an MCS of rate 1.0 was necessary to cope with the inter-layer interference and the current SNR and

the minimum code rate has been set to 2.0, then this layer would be switched off.

Example MSSTC:

- 5    Antenna configuration: 4 transmit antennas, arbitrary number of receive antennas  
Number of necessary layers was set to 2 because some of the above-mentioned  
criteria. Then, the MSSTC transmitted signal is generated by a space-time code for  
4 antennas while the orthogonal transform, e.g. DFT or Hadamard, has length 2  
reflecting the number of used layers.
- 10    The benefits are that the more layers are present the more interference between  
layers is generated in general. If the same data rate can be achieved with less  
number of layers the receiver becomes simpler and usually the performance  
improves since there are less losses due to imperfect receiver solutions.
- 15    MIMO transmission offers a substantial performance gain when the channel is fed  
appropriately. The way of link adaptation proposed here tries to exploit a big portion  
of this potential also in practice.

20

TERMINOLOGY AND ABBREVIATIONS

AWGN	Additive White Gaussian Noise
BER	Bit error rate
CDF	cumulative distribution function
CSI	Channel state information
DMMT	Discrete matrix multitone
HSDPA	High-speed downlink packet access (high-speed mode of UMTS)
LA	Link adaptation
LQM	Link quality measurement
MCS	Modulation and coding scheme
MIMO	Multiple-input multiple-output
MMSE	Minimum mean square error
MSSTC	Multi-stratum space-time coding
PDF	probability density function
SINR	Signal-to-noise-and-interference ratio
SISO	Single-input single-output
SNR	Signal-to-noise ratio
V-BLAST	Vertical BLAST (BellLabs layered space-time architecture)
WER	Word or frame error rate

## CLAIMS

1. A method of transmitting information in a communication between a transmitter  
(1) having more than one transmit antenna and a receiver (2) having more than  
5 one receive antenna, whereby information to be transmitted is divided into a  
plurality of subsignals (Layer 0, Layer 1, Layer 2, Layer 3), each subsignal  
(Layer 0, Layer 1, Layer 2, Layer 3) is processed separately before it is emitted  
by said transmit antennas and whereby in the receiver (2) the receive signal is  
processed thus that subsignals are detected and decoded and the contribution of  
10 each detected and decoded subsignal is subtracted from the receive signal and  
whereby a feedback channel (4) from receiver to transmitter is used to send  
control information to the transmitter according to the receive situation,  
**characterized in that,**  
in the receiver the link quality of each subsignal is determined, information of  
15 each subsignal is transmitted to the transmitter (1) via the feedback channel (4)  
and that in the transmitter (1) properties of the subsignals are controlled by the  
feedback information.
2. A method according to claim 1 whereby in the receiver the determined link  
20 qualities are evaluated to generate control information that is send to the  
transmitter.
3. A method according to claim 1 whereby the determined link qualities are send to  
the transmitter and are evaluated in the transmitter to generate control  
25 information to control each transmit subsignal.
4. A method according to claim 1, 2 or 3 where the subsignal property that is  
controlled by the link quality information is the data rate of each subsignal.

5. A method according to claim 1, 2 or 3 where the subsignal property that is controlled by the link quality information is the transmit power of each subsignal.
- 5 6. A method according to claim 1, 2 or 3 where the subsignal property that is controlled by the link quality information is the modulation scheme of each subsignal.
7. A method according to claim 1, 2, 3, 4, 5 or 6 where the link quality  
10 determination is based on an error rate measurement.
8. A method according to claim 1, 2, 3, 4, 5 or 6 where the link quality determination is based on a signal to noise and interference ratio measurement.
- 15 9. A method according to claim 1, 2, 3, 4, 5 or 6 where the link quality determination is based on a capacity calculation.
10. A method according to claim 9 where the capacity calculation is takes the instantaneous calculated capacities of each subsignal.  
20
11. A method according to claim 9 where the capacity calculation takes an average of the calculated capacities of each layer with respect to a longer time period.
12. A method according to claim 9 where the capacity calculation takes the outage  
25 of the calculated capacities of each layer with respect to a longer time period.
13. A method according to one claims 1 – 12 where the subsignals are mutually superimposed and diversity is added to each subsignal.

14. A method according to claim 12 where for applying diversity to the subsignals a Space-Time code is used.
15. Method according to claims 1 –14 where the number of subsignals is adapted to  
5 the current channel situation.
16. Method according to claim 15 where the number of subsignals is chosen according to the number of eigenvalues in the correlation matrix being significantly greater than zero.  
10
17. Method according to claim 15 where the number of subsignals is chosen according to the number of singular values in the instantaneous channel matrix being significantly greater than zero.
- 15 18. Method according to claim 15 where the number of subsignals is chosen thus that a certain minimum rate per subsignal is achieved; otherwise the number of subsignals is reduced.
19. A method according to one of claims 1 – 18 comprising the steps of determining  
20 the link quality of each subsignal, compare the set of determined link qualities with a plurality of sets of pre-calculated link qualities in order to choose one of the pre-calculated sets as the best matching set of all pre-calculated sets and use the properties of the chosen pre-calculated set on which the chosen pre-calculated set was based as properties for the subsignals.  
25
20. A transmitter for a MIMO transmission system having more than one transmit antenna whereby information to be transmitted is divided into a plurality of subsignals according to the number of used transmit antennas and each  
30 subsignal is processed separately before it is emitted by the respective transmit antenna and whereby on a feedback channel control information from a receiver



is received,

**characterized in that,**

information of the link quality of each subsignal is received via the feedback  
channel and that the transmitter controls properties of the subsignals based on  
5 the link quality information.

21. A receiver for a MIMO communication system having more than one receive  
antenna, whereby receive signals of a respective receive antenna are processed  
thus that subsignals are detected and decoded and the contribution of each  
10 detected and decoded subsignal is subtracted from the receive signals and  
whereby a feedback channel from the receiver to a transmitter is used to send  
control information to the transmitter depending on the receive situation,  
**characterized in that,**  
in the receiver the link quality of each subsignal is determined, information of  
15 each subsignal is transmitted to the receiver via the feedback channel for  
adapting the properties of the subsignals in a respective transmitter.

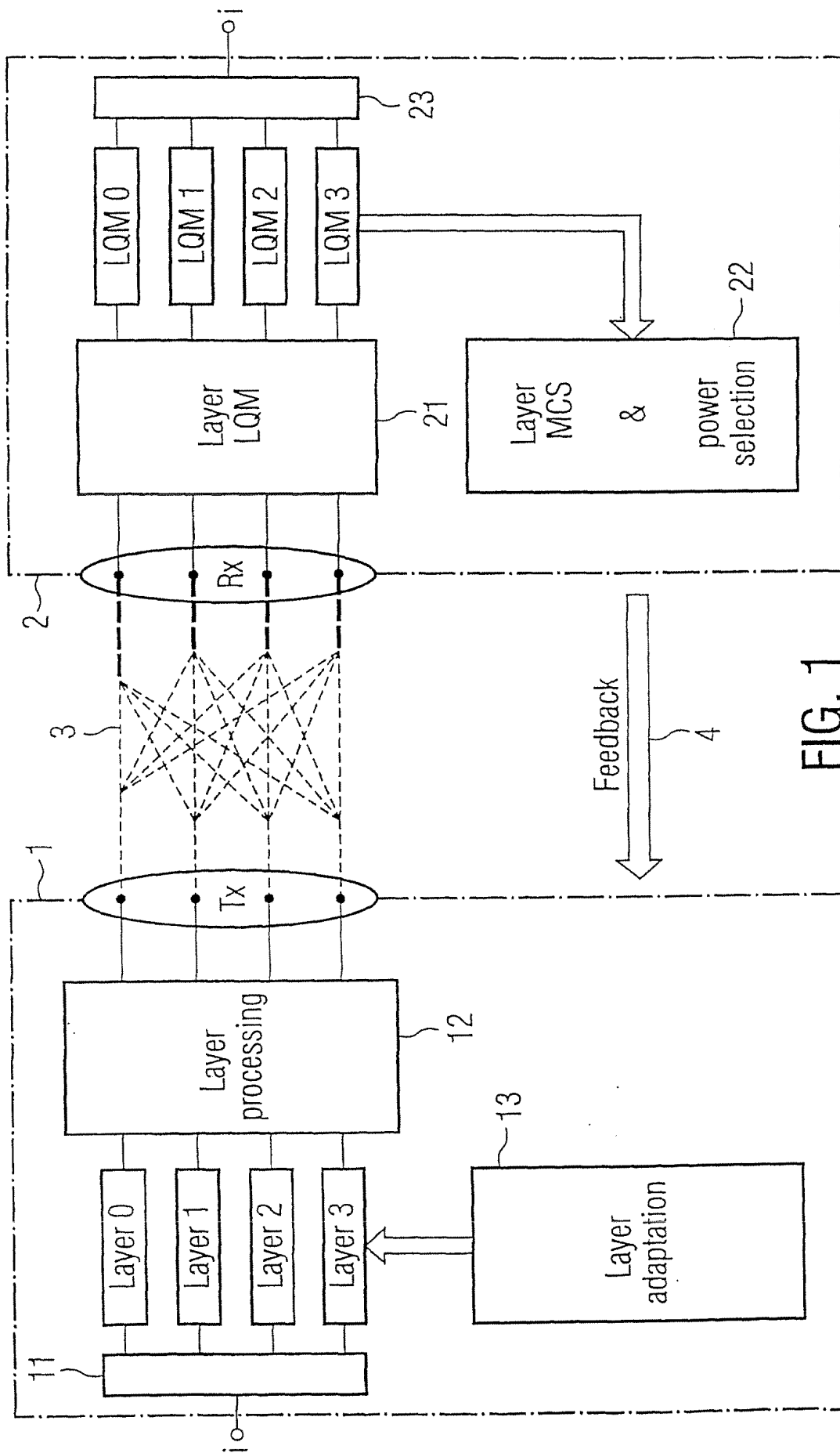
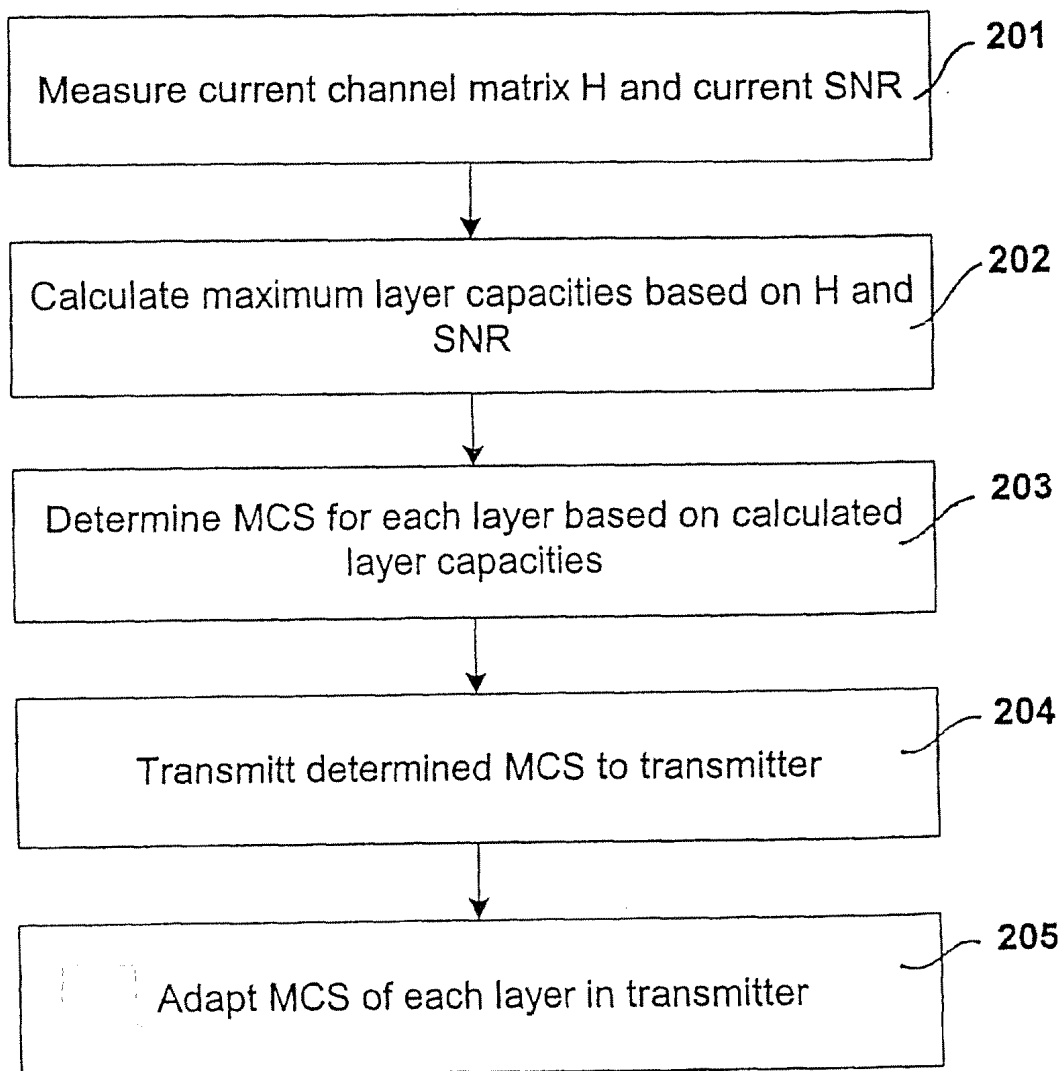
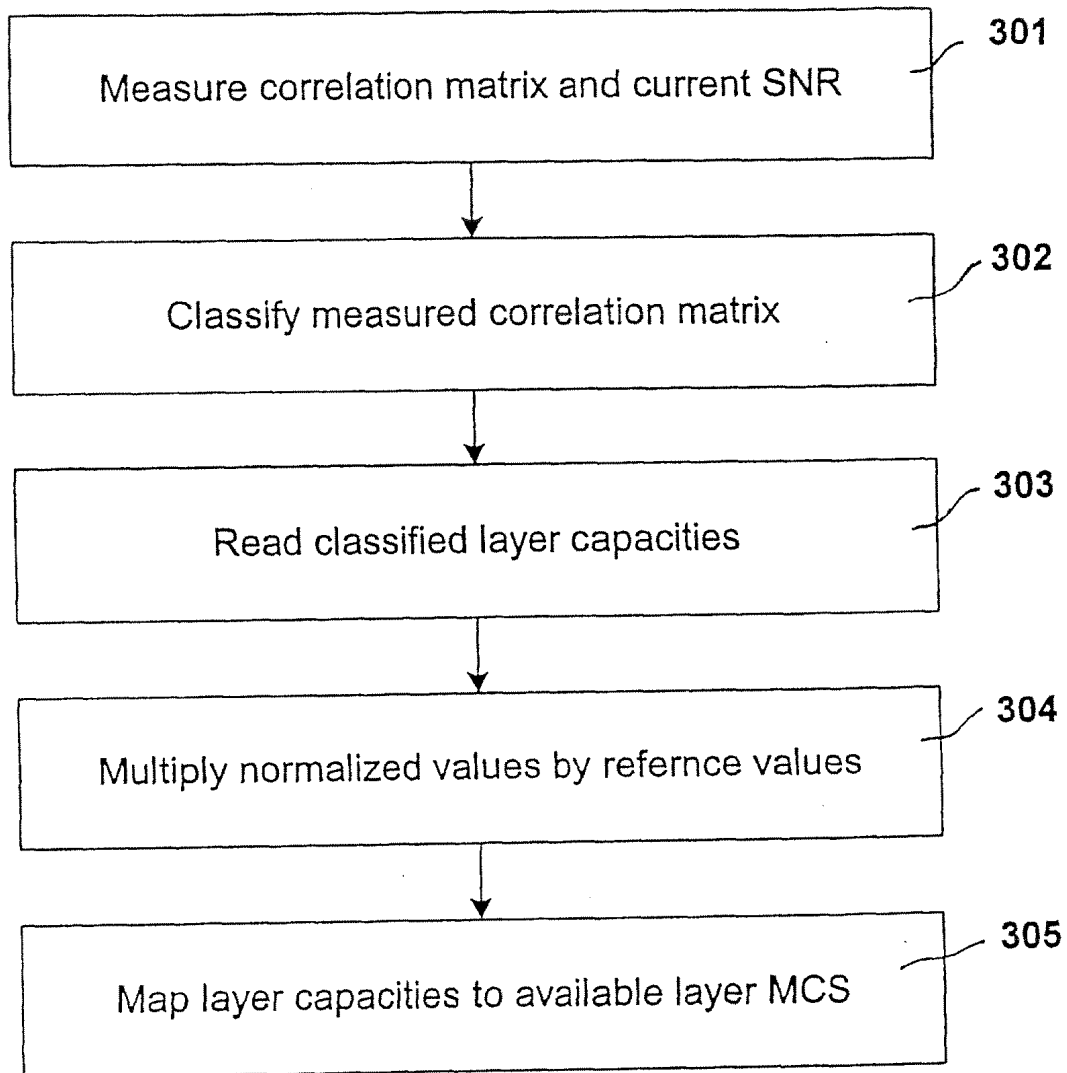


FIG. 1

**Fig. 2**

**Fig. 3**

## INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP 02/04876

A. CLASSIFICATION OF SUBJECT MATTER  
 IPC 7 H04L1/06 H04L1/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 H04L H04B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	KOUSA M A ET AL: "ADAPTIVE BINARY CODING FOR DIVERSITY COMMUNICATION SYSTEMS" IEEE INTERNATIONAL CONFERENCE ON PERSONAL WIRELESS COMMUNICATIONS PROCEEDINGS, XX, XX, 1997, pages 80-84, XP000992269 abstract page 80, right-hand column -page 82, left-hand column; figures 1A,1B	1-8,15, 18,20,21
Y	---	9-12
X	EP 0 951 091 A (LUCENT TECHNOLOGIES INC) 20 October 1999 (1999-10-20) cited in the application page 1, line 5 - line 32 page 3, line 13 -page 4, line 17 page 4, line 38 - line 55; claims 1,5; figure 1 ---	1-3,13, 14,20,21
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Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

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Date of the actual completion of the international search

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## INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP 02/04876

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to Claim No.
X	<p>ADA S. Y. POON, DAVID N. C. TSE, ROBERT W. BRODERSEN: "An Adaptive Multi-Antenna Transceiver for Slowly Flat Fading Channels"</p> <p>BERKELEY WIRELESS RESEARCH CENTER, DEPARTMENT OF ELECTRICAL ENGINEERING AND COMPUTER SCIENCE, UNIVERSITY OF CALIFORNIA, BERKELEY, 'Online! March 2000 (2000-03), pages 1-35, XP002179018</p> <p>Retrieved from the Internet: &lt;URL:http://degas.eecs.berkeley.edu/{dtse/pub.html}&gt; 'retrieved on 2001-10-01! cited in the application page 1 -page 8; figure 3</p>	1-3, 13, 14, 20, 21
Y	<p>SIRIKIAT LEK ARIYAVISITAKUL: "TURBO SPACE-TIME PROCESSING TO IMPROVE WIRELESS CHANNEL CAPACITY"</p> <p>ICC 2000. 2000 IEEE INTERNATIONAL CONFERENCE ON COMMUNICATIONS. CONFERENCE RECORD. NEW ORLEANS, LA, JUNE 18-22, 2000, IEEE INTERNATIONAL CONFERENCE ON COMMUNICATIONS, NEW YORK, NY: IEEE, US, vol. VOL 3 OF 3, 18 June 2000 (2000-06-18), pages 1238-1242, XP001020956 ISBN: 0-7803-6284-5 page 1238, right-hand column, paragraph II -page 1239, right-hand column</p>	9-12
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A	<p>TSE D N: "OPTIMAL POWER ALLOCATION OVER PARALLEL GAUSSIAN BROADCAST CHANNELS"</p> <p>PROCEEDINGS OF THE 1997 IEEE INTERNATIONAL SYMPOSIUM ON INFORMATION THEORY. ISIT '97. ULM, JUNE 29 - JULY 4, 1997, IEEE INTERNATIONAL SYMPOSIUM ON INFORMATION THEORY, NEW YORK, NY: IEEE, US, 29 June 1997 (1997-06-29), page 27 XP010240080 ISBN: 0-7803-3957-6 the whole document</p>	1-21

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## INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP 02/04876

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	GOLDEN G D ET AL: "Detection algorithm and initial laboratory results using V-BLAST space-time communication architecture" ELECTRONICS LETTERS, IEE STEVENAGE, GB, vol. 35, no. 1, 7 January 1999 (1999-01-07), pages 14-16, XP006011643 ISSN: 0013-5194 the whole document -----	1-21

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Information on patent family members

International Application No

PCT/EP 02/04876

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			EP 0951091 A2 20-10-1999
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